

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

IN RE APPLICATION OF: Eun Hye CHOI, et al.

SERIAL NO: New Application

GAU:

FILED: Herewith

EXAMINER:

FOR: TRANSACTION PROCESSING SYSTEM SUPPORTING CONCURRENT ACCESSES TO HIERARCHICAL DATA BY TRANSACTIONS

**INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.97**

COMMISSIONER FOR PATENTS  
ALEXANDRIA, VIRGINIA 22313

SIR:

Applicant(s) wish to disclose the following information.

**REFERENCES**

- The applicant(s) wish to make of record the references listed on the attached form PTO-1449. Copies of the listed references are attached, where required, as are either statements of relevancy or any readily available English translations of pertinent portions of any non-English language references.
- A check or credit card payment form is attached in the amount required under 37 CFR §1.17(p).

**RELATED CASES**

- Attached is a list of applicant's pending application(s) or issued patent(s) which may be related to the present application. A copy of the patent(s), together with a copy of the claims and drawings of the pending application(s) is attached along with PTO 1449.
- A check or credit card payment form is attached in the amount required under 37 CFR §1.17(p).

**CERTIFICATION**

- Each item of information contained in this information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.
- No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.

**DEPOSIT ACCOUNT**

- Please charge any additional fees for the papers being filed herewith and for which no check or credit card payment is enclosed herewith, or credit any overpayment to deposit account number 15-0030. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.



Marvin J. Spivak

Registration No. 24,913

**C. Irvin McClelland  
Registration Number 21,124**

Customer Number

**22850**

Tel. (703) 413-3000  
Fax. (703) 413-2220  
(OSMMN 05/03)

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**STATEMENT OF RELEVANCY**

**Reference AW of Form PTO-1449:**

In this reference, a concurrency control method called XLP was proposed for XML document management. XLP is based on granular locking and is applicable to only a simple Xpath query to XML documents without predicate expressions.

**Reference AX of Form PTO-1449:**

In this reference, a concurrency control method called DGLOCK was proposed for XML document management. DGLOCK is based on granular locking and precision locking and relies on a structure called Data Guide. DGLOCK is applicable to only XML documents with limited node types.

Form PTO 1449 (Modified)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY DOCKET NO. 248156US2RD		SERIAL NO. New Application	
LIST OF REFERENCES CITED BY APPLICANT		APPLICANT Eun Hye CHOI, et al.					
		FILING DATE Herewith				GROUP	
<b>U.S. PATENT DOCUMENTS</b>							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						
	AL						
	AM						
	AN						
<b>FOREIGN PATENT DOCUMENTS</b>							
		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION		
					YES	NO	
	AO						
	AP						
	AQ						
	AR						
	AS						
	AT						
	AU						
	AV						
<b>OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)</b>							
	AW	Kuen-Fan JEA, et al., "CONCURRENCY CONTROL IN XML DOCUMENT DATABASES: XPATH LOCKING PROTOCOL", Proceedings of the Ninth International Conference on Parallel and Distributed Systems (ICPADS '02), December 2002, (6 pages)					
	AX	Torsten GRABS, et al., "XMLTM: EFFICIENT TRANSACTION MANAGEMENT FOR XML DOCUMENTS", Proc. of the 19 <sup>th</sup> International Conference on Information and Knowledge Management, November 2002, (11 pages)					
	AY						
	AZ					<input type="checkbox"/> Additional References sheet(s) attached	
Examiner				Date Considered			
*Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							